



PERFORMANCE MANAGEMENT SCHEME FOR TAFE NSW INSTITUTE MANAGERS

PE1/01/025

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1. INTRODUCTION

The *Performance Management Scheme for TAFE NSW Institute Managers* establishes a framework for individuals to plan their work performance and for the provision of objective feedback. It also facilitates training and development.

The details of the scheme have been agreed with the Teachers Federation and the Public Service Association and have been developed in accordance with Clause 8.1 of the *Crown Employees (Institute Managers in TAFE) Salaries and Conditions Award*.

2. OBJECTIVES

The objectives of performance management are to support the professional development of institute managers and to enhance the performance of TAFE NSW. All institute managers shall participate in the scheme. The performance management scheme will provide an effective means for institute managers to understand, reflect

upon and improve their performance through developmental processes and to understand the role, accountabilities and standards that are expected of them

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The performance management process is a collaborative process between the line manager and the institute manager. The line manager will exercise leadership by working together with the institute manager to implement the performance management scheme and to provide continuing support and feedback to the officer. The institute manager in consultation with the line manager will identify appropriate targets and monitor their progress, requesting assistance as needed.

The major outcomes of the performance management process will be the identification of developmental needs of the institute manager, the development strategies to support these needs, and feedback on performance and achievements. The process will also enhance the productivity, effectiveness and efficiency of TAFE NSW to meet changing industry and community needs.

The objectives of the scheme are to:

- establish clear individual performance goals linked to and consistent with TAFE NSW's goals and priorities and institute plans and objectives;
- identify each institute manager's current and medium term development needs (in relation to the organisation and self), and career goals and develop strategies to support these needs;
- assist with the achievement of TAFE NSW's long term objectives and annual priorities;
- provide for each institute manager a valid basis for performance assessment against job-related criteria; and
- provide job-related guidance and performance feedback in a continuing way.

3. ESSENTIAL STEPS

The performance management scheme is an ongoing process of planning, review and development. There are three stages. Both institute managers and line managers are fully involved at each stage.

STAGE 1 DEVELOPING WORK PLANS

- The first stage takes place in the context of the finalised TAFE Institute Business Plans.
- The institute manager drafts an individual work plan, which reflects the relevant objectives of the institute.
- The institute manager and their line manager meet to discuss goals, action strategies and associated performance criteria.

- The institute manager and line manager identify professional development needs associated with working towards intended outcomes.
- Both aim to reach agreement on the work plan including professional development.

STAGE 2 REVIEWING PROGRESS

- The performance management scheme is a dynamic process. Review of work plans is ongoing but may be relatively unstructured.
- During progress reviews, the opportunity is available for open and constructive discussion, feedback and assessment of progress against workplace requirements.
- As changes for the work plan are required they should be identified, recorded and managed in a timely manner.
- After six months, progress is reviewed and takes into account any factors beyond the institute manager's control, which may have affected that progress and recorded on the work plan.
- Review and updating of the institute manager's work plan and associated development activities as required takes place at this stage.
- Comments on progress and performance may be documented.

STAGE 3 ANNUAL REVIEW

- The institute manager records the year's progress and achievements against intended outcomes including professional development.
- The line manager meets with the institute manager to give constructive feedback, to recognise achievements and to discuss progress made.
- External factors impinging on performance are also documented.
- Comments are documented using the forms provided.
- The development of next year's work plan builds on the results of the annual review.

4. THE PERFORMANCE MANAGEMENT SCHEME IN DETAIL

4.1 STAGE 1 WORK PLANNING

Individual work plans are prepared in the light of team work commitments. One to one discussion between the line manager and institute manager will play an important part in clarifying expectations, and reaching agreement about work plans. Both participants

should prepare for this meeting which should be organised well in advance and at a mutually convenient time. The format of the meeting should be participative rather than directive to ensure ownership of the plan.

The success of the performance management scheme depends on high level commitment and valuing recognition, achievement and support.

The work plan should include the following elements.

Intended Outcomes or Goals

The specific outcomes or goals set out for the planning period can be project based as well as related to the institute manager's ongoing responsibilities as reflected in the position description. They should indicate what is to be done within a specified period. Ideally there should be five or six outcomes for the twelve month planning period which are focussed on the key accountabilities of the position and reflect participation in the achievement of the institute's goals.

The intended outcomes/goals of the institute manager may be established using elements of each of the following Australian Business Excellence Framework categories:

- Leadership and Innovation
- Strategy and Planning Processes
- Data, Information and Knowledge
- People
- Customer and Market focus
- Processes, Products and Services
- Business Results

Intended outcomes or goals should be **S.M.A.R.T.**:

Specific and detailed.

Measurable.

Achievable.

Relevant to TAFE NSW objectives.

Time-framed.

Action Strategies including Professional Development

The action strategies specify what the institute manager will do to achieve the intended outcomes/goals. They may include methods, timeframes, team work, tasks to be delegated and/or resources required.

When a work plan has been decided on and action strategies have been finalised, the

institute manager and line manager have a basis for considering professional development requirements to be included as additional action strategies

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Clause 5 of the Award provides details of conditions and support for training and development. Responsibility for the institute manager's professional development is shared between the institute manager, the line manager, the institute and TAFE NSW.

Professional development planning need not be confined to the meeting with the line manager. While the line manager can provide support, advice and take a mentoring role, other colleagues may prove a valuable source of guidance and feedback.

Performance Criteria

Performance criteria are also known as performance measures or indicators. They need to be meaningful, realistic and consistent with the institute manager's position description. Clearly defined performance criteria show how achievement will be measured. These measures should be based on efficiency (eg. what results will be achieved) and effectiveness (eg. how well results will be achieved and what impact they will have).

Performance criteria need to be established in line with the performance indicators for the institute. The use of performance criteria, which are related to the position description and the objectives of the institute provide a valid and reliable basis for defining and assessing performance and avoids bias. Any associated measurement system needs to be manageable and integrated within the institute's measurement and reporting systems rather than a separate system just for individual performance management purposes.

4.2 STAGE 2 PROGRESS REVIEW

Institute managers participate in regular review processes that form part of an effective working relationship between the institute manager and their line manager.

There will be at least one progress review meeting during the review period where the institute manager and the line manager:

- recognise progress made including any factors beyond the institute manager's control which may have affected that progress
- confirm or adjust the work plan
- discuss any changes in priorities
- assess progress to date against the work plan
- provide feedback on performance, achievements and levels of support to date

and identify professional development opportunities.

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The progress review may be relatively unstructured and based on minimal documentation unless there is a need to alter the work plan or there are performance concerns.

Institute managers are to be made aware of any deficiencies in their performance at any time rather than at the annual review and provided with appropriate support to correct any deficiencies.

The main steps in dealing with unsatisfactory performance are:

- early intervention and informal counselling
- formal counselling and development of a performance improvement plan
- follow up review of performance improvement plan via a structured meeting
- deciding on appropriate action including disciplinary action if performance has not improved sufficiently.

Further advice on the effective management of unsatisfactory performance can be sought from the human resources unit or the relevant unions.

4.3 STAGE 3 ANNUAL REVIEW

The annual review considers performance over the entire year. It focuses on progress and achievement against work plans with the aim of identifying opportunities for further improvement in work performance and professional development. Overall results are recognised as well as any external factors affecting results.

Institute managers and line managers are encouraged to seek feedback from a variety of credible sources. They can decide whether and to what extent this feedback is brought into the review.

Annual review meeting

Both the institute manager and line manager should prepare for the meeting: the institute manager with their work plans and achievements for the year; the line manager by being in a position to provide specific and informed feedback.

At the meeting, discussion will involve identification of results for each intended outcome in the work plan with opportunity to comment on any external factors affecting performance. If there is a variation in view points, any problems can be identified and solutions can be negotiated.

Planning for the next cycle could be undertaken, or left until a subsequent meeting,

coinciding with the start of the next performance management cycle.

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Both the line manager and institute manager sign the original annual review documents. The original documents are passed on to the institute director for information then filed in the human resources unit. The institute manager and the line manager keep a copy of the signed documents.

The results of the annual review provide valuable information on patterns affecting performance management practices.

5. MANAGING DISAGREEMENTS AND UNSATISFACTORY PERFORMANCE

Role of the reviewing manager

In the event that agreement is not reached or upon request from either the institute manager or line manager, the documents are submitted to the reviewing manager. The reviewing manager will review the planning process to ensure it is consistent with institute priorities, effectively implemented and fair to all as well as recognising achievements and progress. A record of any areas of disagreement and any subsequent changes in the work plan are documented and signed by the line manager, the institute manager and the reviewing manager.

Complaints Resolution Procedure

Where the reviewing manager is unable to resolve conflict between an institute manager and the line manager about the implementation of the performance management scheme, the institute manager has recourse to the Department's procedures *Responding to Suggestions, Complaints and Allegations, effective 23 April 2001*.

Unsatisfactory Performance

Deficiencies in work performance may be identified at any time. When this occurs, institute managers should be provided with the appropriate support to correct any deficiencies.

Ongoing and serious work performance problems may lead to disciplinary action under Clause 12 of the *Crown Employees (Institute Managers in TAFE) Salaries and Conditions Award*. In the majority of cases, such disciplinary action shall only be commenced after line managers have demonstrated to the reviewing manager that all reasonable steps have been taken to rectify problems.

Line managers shall contact the reviewing manager or the institute human resources unit for advice on the process for management of unsatisfactory performance at the time it is identified.

6. IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT SCHEME

6.1 ADMINISTRATION

Collection, storage, access to and disposal of documents relating to the performance management scheme must be in line with the Department of Education and Training *Records Management Program Policy*.

Following completion of the annual review, the original documents are held by the human resources unit in the institute. The institute manager and the line manager may also keep a copy.

Access to forms is restricted to the institute manager, the line manager, the reviewing manager and the institute director or nominee.

The institute manager may elect to provide a copy of their completed work plan as evidence of achievement at a selection interview. The line manager may refer to the forms while preparing a reference for a selection committee. The line manager may not, however, submit a work plan as a reference for the institute manager.

Documents are retained for a minimum period of two years. Documents must be disposed of securely by the line manager and the human resources unit.

6.2 INSTITUTE MANAGEMENT POSITION CHANGES

New institute managers should have a planning meeting with their line manager within three months of entry on duty in the position.

Before an institute manager moves to another position within TAFE NSW, they should have a meeting with their line manager to review achievements and finalise the work plan.

Line managers taking up a position in a new work area should become familiar with each institute manager's plans, and renegotiate priorities if necessary.

When a line manager leaves a position, and it has been more than three months since the last review, they should provide feedback to the institute manager before they leave.

Where an institute manager acts in a higher position, or is seconded, or involved in a job rotation/interchange, the line manager and institute manager should discuss expectations and develop a work plan. At the end of the period, the institute manager should receive feedback about their achievements and performance.

When a person is employed on a temporary basis for six months or more a work plan should be developed for the period of employment. The same system of performance feedback and review would then apply.

6.3 TRAINING

Successful implementation of the performance management scheme should include both training in the operation of the scheme as well as training in the specific competencies required to ensure participants can optimise the benefits of the scheme for the institute and themselves.

Competency areas for development include:

- giving and receiving constructive feedback
- negotiation skills
- cross-cultural awareness and communication
- training needs analysis
- setting effective performance standards
- managing under performance
- storage, access and disposal of documents in line with the Privacy and Personal Information Protection Act 1998 and the Department's *Record Management Program Policy*.

6.4 REVIEW AND EVALUATION

The performance management scheme for institute managers will be reviewed and evaluated on a regular basis by the Department of Education and Training in conjunction with institutes and the relevant unions. Opportunities for improvement will be examined and consequent changes made with agreement of the unions and according to the overall objectives of TAFE NSW.

Outcomes that have been achieved by organisations that have successfully implemented performance management as documented in the Premier's Department *Performance Management Policy and Guidelines, 1998* include:

- improvements in communication, review and feedback processes with emphasis on the qualitative nature of feedback
- reduction in grievances arising over the level of demonstrated performance
- greater emphasis and focus on goals rather than operating in a reactive management style
- improvements in the organisation's ability to adapt to ongoing change.

PUBLICATION HISTORY

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The *Performance Management Scheme for TAFE NSW Institute Managers* is effective from 6 August 2001.

The *Performance Management Scheme for TAFE NSW Institute Managers* was published in the Supplement to [TAFE Commission Gazette No. 27 of 22 August 2001](#).

Any inquiries regarding this policy may be directed to your human resources manager.

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PERFORMANCE MANAGEMENT SCHEME

Work plan – Performance Agreement

Institute Manager	Name _____
	Position _____
	Location _____
	Institute _____

Line Manager	Name _____
	Position _____

	Work Plan Agreed*	Annual Review
Date	_____	_____
Signed (Institute Manager)	_____	_____
Signed (Line Manager)	_____	_____

*If not agreed refer to Reviewing Manager

Reviewing Manager (Where appropriate)	Date _____	Signed _____
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WORKPLAN

Intended Outcomes/Goals (what is planned)	Action Strategies Including Professional Development (how goals can be achieved)	Performance Criteria (how achievement is measured)	Annual Review Comments (what was achieved - include any external factors affecting results)

Date _____

Signed (Institute Manager) _____

Signed (Line Manager) _____

ANNUAL REVIEW

Overall Results Achieved (include comments on external factors affecting results)	Comments (based on review discussions; staff member may add comments)

Date _____

Signed (Institute Manager) _____

Signed (Line Manager) _____

DEFINITIONS

Institute Manager: All institute managers will be involved in developing work plans in consultation with their line manager.

Line Manager: Performance planning and reviews will be carried out by a person who is senior to the institute manager and who is familiar with their day-to-day work. In most cases this will be their immediate manager.

Where an institute manager works to more than one line manager, an agreement is reached between the line manager and the institute manager as to the most appropriate arrangement. In most cases, the performance review will be carried out with the line manager who has administrative responsibility for the institute manager. Arrangements may be put in place for the other supervisors to contribute feedback.

Reviewing Manager: In general, a senior manager will act as “reviewing manager”. Their role is to monitor the conduct of performance planning and review and to ensure that the Performance Management Scheme is effective.

Institute Directors: All institute directors have an important role in ensuring that the system is implemented and that line managers and institute managers are appropriately briefed or trained to participate effectively in the scheme.